



**Rapid Appraisal
of the
Botswana Natural Resources Management Project
(B/NRMP)**

by

**Scott McCormick, Ph.D.
George Honadle, Ph.D.**

March 29, 1999

Presented to:

Dr. Candace Buzzard, B/NRMP Officer

United States Agency for International Development
Regional Center for Southern Africa (USAID/RCSA)

Under the Rural and Agricultural Incomes with a Sustainable Environment (RAISE) Indefinite
Quantities Contract PCE-I-00-99-00001-00: Task Order 800



Presented by:

ARD-RAISE Consortium

1915 Eye Street, NW, Suite 600
Washington, DC, 20006

Tel: 202-223-2533 Fax: 202-223-2540
Gkerr@arddc.com

The ARD-RAISE Consortium:

Associates in Rural Development, Cargill Technical Services, Associates for International
Resources and Development, CARANA Corporation, A.P. Gross & Company, International
Programs Consortium, Land O'Lakes, Purdue University, and Technoserve.

Table of Contents

<u>SECTION</u>	<u>CONTENT</u>	<u>PAGE NUMBER</u>
	Acronyms	3
	Preface and Acknowledgements	5
1.0	Executive Summary	6
2.0	Introduction	10
2.1	Background	10
2.2	Purpose of the assessment	11
2.3	Methods for conducting the assessment	14
3.0	Project Accomplishments	15
3.1	Amendment 6 Requirements	15
3.2	B/NRMP Achievements	16
4.0	Elements of sustainability	22
4.1	Definitions of sustainability	22
4.2	Degree of Sustainability and Opportunities for Improving Sustainability	24
5.0	Strategic Interventions	32
5.1	Programming Options	33
5.2	Discussion	35
5.3	Donor profile in Botswana	40
5.4	Potential funding gaps and priorities for USAID/RCSA	43
6.0	Regional Integration	45
Appendices		
A	Assessment Terms of Reference	
B	Field Report - Dr. Pat Foster-Turley	
C	Powerpoint Slides Presented to SO3 Team	
D	Pilot Project - Approach for Developing a District CBO Support Network	

Acronyms

ACORD	Agency for Cooperation and Research in Development
ARB	Agricultural Resources Board
ARD	Associates in Rural Development, Inc.
B/NRMP	Botswana Natural Resources Management Project
BWMA	Botswana Wildlife Management Association – formerly called the Botswana Professional Hunters’ Association
BWTI	Botswana Wildlife Training Institute
CAMPFIRE	Community Areas Management Program for Indigenous Resources
CAP	Community Action Plan
CBNRM	Community-based Natural Resource Management
BOCOBONET	Botswana Community-based Organization Network
BOCONGO	Botswana Council of Non-Governmental Organizations
CBO	Community-based organization
CCF	Community Conservation Fund
CECT	Chobe Enclave Community Trust
CHA	Controlled Hunting Area
DFID	Department for International Development
DLUPU	District Land Use Planning Unit
DOD	District Officer (Development)
DOL	District Officer (Lands)
DoT	Department of Tourism
DPSM	Department of Public Service Management
DWNP	Department of Wildlife and National Parks
EU	European Union
FAP	Financial Assistance Policy
GEF/SGF	Global Environmental Facility – Small Grants Fund
GoB	Government of Botswana
HATAB	Hotel and Tourism Association of Botswana
IMC	Inter-ministerial Coordinating Committee
IR	Intermediate Result
IRCE	Institutional Reinforcement for Community Empowerment
IUCN	World Conservation Union
KCS	Kalahari Conservation Society
KDT	Kuru Development Trust
KYT	Kgetsi ya Tsie Trust
M&E	Monitoring and evaluation
M&U	Management and Utilization Division, DWNP
MCI	Ministry of Commerce and Industry
MFDP	Ministry of Finance and Development Planning
MLGLH	Ministry of Local Government and Housing
MOA	Ministry of Agriculture
MOE	Ministry of Education

NCSA	National Conservation Strategy Coordinating Agency
NDP8	Eighth National Development Plan
NG	Ngamiland (refers to CHA labeling)
NRMP	Natural Resources Management Project
OCAT	Organizational Capacity Assessment Tool
PACD	Project Assistance Completion Date
PACT	Private Agencies Cooperating Together
PRA	Participatory Rural Appraisal
PSO	Private Service Organization
RADP	Remote Area Dwellers Programme
RCSA	USAID – Regional Center for Southern Africa
RDC	Rural Development Council
SADC	Southern Africa Development Community
SARP	Southern Africa Regional Program
STTA	Short-term Technical Assistance
SNV	Netherlands Development Organization
SO	Strategic Objective
TC	District Technical Committee
UB	University of Botswana
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
VPR	Veld Products Research
WFHB	Women's Finance House of Botswana
WMA	Wildlife Management Area

PREFACE AND ACKNOWLEDGEMENTS

The Rapid Assessment of the Botswana Natural Resources Management Project (B/NRMP) was initiated by the Regional Center for Southern Africa, United States Agency for International Development (USAID/RCSA). The assessment was conducted in Botswana from March 6 to March 29, 1999 by Associates in Rural Development, Inc. (ARD) under the Rural and Agricultural Incomes with a Sustainable Environment (RAISE) Indefinite Quantities Contract (USAID Contract Number PCE-I-00-99-00001-00: Task Order Number: 800).

The assessment team comprised Dr. Scott McCormick, Community-based Natural Resources Management Specialist and Dr. George Honadle, Institutional Specialist and this report summarizes their observations on B/NRMP activities completed, lessons learned, degree of sustainability, and recommendations for strategic interventions.

Photographs included in this report were taken by Dr. Pat Foster-Turley, an American Association for the Advancement of Science (AAAS) Fellow from USAID/RCSA. Dr. Foster-Turley accompanied the ARD team and provided extremely valuable insights on biophysical monitoring and natural resources management. Her comments were integrated into this report and her trip report is attached as Appendix B.

The ARD team would like to thank the some of the numerous people who assisted us in Botswana. Dr. Candace Buzzard, the B/NRMP COTR provided insights, guidance, and the optimism necessary for conducting this assessment. USAID/RCSA Mission Director, Edward Spriggs met with us extensively to discuss our observations and recommendations and demonstrated his keen interest in and commitment to CBNRM in Botswana and the Southern Africa region. We hope this report meets both Candace's and Ed's expectations. We would also like to thank all of the members of the SO3 team for their comments and observations following our presentation.

Appreciation goes also to the Chemonics and PACT NRMP team members, who graciously gave their time during one of the most hectic times in project implementation. Especially, we would like to thank Dr. Richard Smith, Chemonics NRMP Chief of Party, Ms. Joan Leavitt, PACT Country Representative, and Dr. Jonathan HaBarad of PACT for their assistance in organizing our field work and in providing key background documentation.

Finally, for all of the Batswana who spent time with us, sharing ideas, concerns, and hopes, *reitumetse thata*.

1. EXECUTIVE SUMMARY

The Botswana component of the Natural Resources Management Project, funded by the United States Agency for International Development, Regional Center for Southern Africa (USAID/RCSA), aims to promote sustainable, conservation-based development on lands considered marginal for arable crop production and livestock production. A key element of the RCSA's focus is on community-based natural resources management (CBNRM). The Botswana Natural Resources Management Project (B/NRMP) promotes the self development of community-based organizations (CBOs) towards gaining economic returns from the ecologically sustainable management of natural resources.

In Botswana, USAID and the Government of Botswana (GoB) have supported the B/NRMP since 1989. When the bilateral USAID mission closed in 1995, RCSA assumed the responsibility for B/NRMP.

The goal of B/NRMP is *to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural resources, particularly wildlife*. The subgoal *promotes sustainable development of communities on lands that are marginally suitable for agriculture*. B/NRMP has two purposes:

- ✍ Demonstrate, through practical examples, the technical, social, economic, and ecological viability and replicability of community-based natural resources management and utilization programs on marginal lands for increasing household and community income while sustaining natural resources;
- ✍ Improve national and local capability to halt the decline in wildlife resource base through training, education, protection, communication, and technology transfer.

The final evaluation of B/NRMP, conducted in January 1997, recommended an extension to focus on consolidation of existing achievement and activities, particularly in terms of communities and CBOs involved in the project, and on specific areas of institutional development. This extension, under Amendment 6 of the Project Grant Agreement, extended B/NRMP two years to August 31, 1999 and added \$4.3 million, increasing the overall funding level to \$24.2 million.

The two main purposes of the extension period were to:

- ✍ Provide a transition period to transfer responsibility to the relevant private and public sector organizations for the promotion and support of CBNRM; and
- ✍ Insure the sustainability of project accomplishments, the replicability of demonstration projects, mainly CBOs making investments in CBNRM and the identification and transfer of best practices within the region.

As the PACD neared, USAID/RCSA determined that an assessment of the sustainability of B/NRMP was warranted. This rapid assessment of the B/NRMP had six objectives:

- ✍ Identify status of CBNRM progress in Botswana;
- ✍ Discern the impacts of the B/NRMP activities;
- ✍ Determine the sustainable and non-sustainable elements of B/NRMP after the Project Assistance Completion Date (PACD);
- ✍ Pinpoint elements requiring further donor assistance after PACD;
- ✍ Identify sources of funds to implement those elements requiring further assistance; and
- ✍ Integrate programming of this support with regional needs and RCSA programming objectives.

During the ten-year life of B/NRMP, significant accomplishments have been achieved. Of primary importance is the elevated awareness of and support for CBNRM within Botswana, both within Government of Botswana agencies and equally as important, among communities and non-governmental organizations within the rural areas of Botswana. Programmatically, B/NMRP has:

- ✍ Introduced a CBNRM planning process;
- ✍ Organized, created, and supported a large number of pilot community-based organizations and trusts towards better natural resources management;
- ✍ Initiated CBNRM network and outreach process;
- ✍ Assisted the Department of Wildlife and National Parks (DWNP) develop an community-based extension approach, initiate a Community Conservation Fund, revise training curricula, and introduce methods for improving human resources capacity;
- ✍ Integrated formal environmental education methods and curricula into Ministry of Education teacher training programs and produced videos and radio programs targeted towards non-formal learners;
- ✍ Provided grants to non-governmental organizations to support improving their capacities; and
- ✍ Reviewed and revised key CBNRM policies.

Even though B/NRMP has accomplished significant results in its history, several key elements have not yet reached a stage that they can continue without some form of donor assistance. These include:

- ✍ Ecological inventory and monitoring techniques and procedures, especially at the community level, are not systematic or institutionalized and the impacts of economic activities are not well documented or known;

- ✍ Community trusts lack appropriate management structures and are unable to make financial management decisions;
- ✍ Market information systems are poorly defined and developed, leaving community-based organizations and private sector organizations without credible and reliable financial information;
- ✍ Limited champions with incentives for supporting CBNRM have been identified;
- ✍ Few providers of appropriate services are known to CBOs and easily accessible;
- ✍ The NGO community is weak and unable to provide adequate linkages to technical assistance sources; and
- ✍ DWNP is creating a nation-wide extension service to support CBNRM, but has no clear idea of its extension role and limited capacity to implement district-level extension programs.

There are several reasons for this, including the following:

- ✍ CBNRM efforts worldwide have demonstrated the complexity of the model. Establishing the enabling framework and the institutional supporting mechanisms takes substantial time and support;
- ✍ Intermediary organizations in Botswana have not been strengthened to the extent necessary to support CBOs and CBNRM; and
- ✍ B/NRMP played a very important role in promoting CBNRM and building political support. However, champions, in terms of implementing programs and activities, still need to be identified and supported.

For enhancing sustainability, donor interventions should be more strategic and at a much lower level of effort. USAID/RCSA should integrate its continuing efforts with other donors in Botswana and its own regional programming in order to optimize the impact of its interventions.

Continuing support is needed for (1) targeted efforts that ensure the evolution of Botswana's CBOs and their service provision network to maturity, (2) efforts that capture the totality of the experience with the Botswana model and compare it to other models in the region, and (3) dissemination of the lessons of the comparative experience to regional bilateral missions and other CBNRM actors.

Six specific actions are recommended for USAID/RCSA consideration in order to reach sustainability:

- ✍ Support key CBOs to reach maturity;
- ✍ Pilot a regional support services network;
- ✍ Develop appropriate ecological monitoring approaches, especially those required at the community level;
- ✍ Assist DWNP define its extension division role and strengthen the management of the CCF;
- ✍ Assist Botswana Wildlife Training Institute (BWTI) with its institutional transition; and
- ✍ Compile and disseminate regional CBNRM lessons through case studies

USAID support to CBNRM in Botswana has contributed tremendously to a better understanding of approaches relevant to successful CBO development. During the ten years of B/NRMP, political will and motivations have been substantially heightened and support from GoB institutions and other intermediary NGOs has increased dramatically. Interesting models striving towards success will contribute valuable lessons to regional and international CBNRM dialogue and refined approaches. Strategic interventions by USAID/RCSA and other key partners, such as SNV and IUCN, will enhance the results of B/NRMP significantly in the near future.

2. INTRODUCTION

2.1 Background

The Botswana component of the Natural Resources Management Project, funded by the United States Agency for International Development, Regional Center for Southern Africa (USAID/RCSA), aims to promote sustainable, conservation-based development on lands considered marginal for arable crop production and livestock production. A key element of the RCSA's focus is on community-based natural resources management (CBNRM). The Botswana Natural Resources Management Project (B/NRMP) promotes the self development of community-based organizations (CBOs) towards gaining economic returns from the ecologically sustainable management of natural resources.

In Botswana, USAID and the Government of Botswana (GoB) have supported the B/NRMP since 1989. When the bilateral USAID mission closed in 1995, RCSA assumed the responsibility for B/NRMP.

The goal of B/NRMP is *to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural resources, particularly wildlife*. The subgoal *promotes sustainable development of communities on lands that are marginally suitable for agriculture*. B/NRMP has two purposes:

- ✍ Demonstrate, through practical examples, the technical, social, economic, and ecological viability and replicability of community-based natural resources management and utilization programs on marginal lands for increasing household and community income while sustaining natural resources;
- ✍ Improve national and local capability to halt the decline in wildlife resource base through training, education, protection, communication, and technology transfer.

B/NRMP has five objectives:

- ✍ Demonstrate that sustainable natural resources utilization is a profitable and viable development option for rural communities;
- ✍ Increase local employment and incomes through diversifying employment opportunities in sustainable utilization of natural resources;
- ✍ Strengthen local institutional decision-making and management units so as to empower them to become self-sufficient managers of their local resources;
- ✍ Improve the participation and role of women in resources management programs, thereby improving their incomes; and

- ✍ Strengthen staff training and career development for employees of the Department of Wildlife and National Parks (DWNP).

A 1992 project amendment added a human resources and training aspect to deal with institutional constraints within DWNP and a human resources development (HRD) focus was initiated in 1994. Additionally, the 1993 mid-term evaluation identified weaknesses in the non-governmental organization (NGO) sector resulting in the Institutional Reinforcement for Community Empowerment (IRCE) amendment of 1995. IRCE added approximately \$5.5 million for additional technical assistance to accomplish the additional two objectives:

- ✍ Build capacity for NGOs to empower communities to manage their natural resources in a sustainable manner; and
- ✍ Develop a grants mechanism to support CBNRM projects.

B/NRMP has been implemented for USAID by Chemonics International (since 1990) and PACT under a Cooperative Agreement since 1995.

The final evaluation of B/NRMP, conducted in January 1997, recommended an extension to focus on consolidation of existing achievement and activities, particularly in terms of communities and CBOs involved in the project, and on specific areas of institutional development. This extension, under Amendment 6 of the Project Grant Agreement, extended B/NRMP two years to August 31, 1999 and added \$4.3 million, increasing the overall funding level to \$24.2 million.

The two main purposes of the extension period were to:

- ✍ Provide a transition period to transfer responsibility to the relevant private and public sector organizations for the promotion and support of CBNRM; and
- ✍ Insure the sustainability of project accomplishments, the replicability of demonstration projects, mainly CBOs making investments in CBNRM and the identification and transfer of best practices within the region.

2.2 Purpose of Rapid Assessment

This rapid assessment of the B/NRMP has six purposes:

- ✍ Identify status of CBNRM progress in Botswana;
- ✍ Discern the impacts of the B/NRMP activities;
- ✍ Determine the sustainable and non-sustainable elements of B/NRMP after the Project Assistance Completion Date (PACD);
- ✍ Pinpoint elements requiring further donor assistance after PACD;

- ✍ Identify sources of funds to implement those elements requiring further assistance; and
- ✍ Integrate programming of this support with regional needs and RCSA programming objectives.

Several key areas were to be addressed under the Scope of Work.

Promotion and support of CBOs

The two-year extension provided a transition period to transfer responsibility for CBNRM to relevant public- and private-sector institutions. Numerous questions were to be addressed:

- ✍ Has this transition occurred?
- ✍ Has CBNRM been institutionalized within the GoB, especially with respect to policy and legislation and has a sufficient support system been created to enable the process to continue after the PACD?
- ✍ What adequately trained technical advisors are available at local levels to advise CBOs on CBNRM issues?
- ✍ Which support systems are capable of providing services and assistance without donor support and what important services are lacking?
- ✍ Do the CBOs have the requisite skills and capacity to continue to manage their organizations sustainably after funding from B/NRMP stops?
- ✍ If support systems are insufficient to assist CBOs, what other assistance programs, from donors, private sector organizations (PSOs), GoB, and NGOs are available and accessible to CBOs?
- ✍ What is the role and capacity of the CBO network?

Enabling Policy Environment

Several policies relevant to CBNRM have been drafted or enacted during B/NRMP. Several questions must be addressed relevant to these policies:

- ✍ How effective are these policy initiatives?
- ✍ How integrated and harmonized are the relevant policies of DWNP and the Agricultural Resources Board of the Ministry of Agriculture?
- ✍ What is the level of inter-ministerial cooperation?
- ✍ Are communities aware of and knowledgeable of appropriate policies?

Natural Resources Management

A major underlying assumption of the project goal of sustainable utilization and conservation of natural resources is that CBNRM will not lead to a deterioration of the ecological base. Relevant to this are several questions:

- ✍ What monitoring and evaluation systems, at all levels, are in place and are being effectively utilized to evaluate and use biophysical information?
- ✍ Are natural resources being managed in an ecologically sustainable manner?
- ✍ What roles do GoB agencies, NGOs, CBOs, and private sector organizations (PSOs) play in the inventory and monitoring of natural resources?
- ✍ How do CBOs use biophysical information to manage and make decisions on natural resources management in their areas?
- ✍ How are sustainable yields determined for product harvesting and offtake?
- ✍ How do CBOs document harvested levels?
- ✍ What elements of monitoring are relevant to the regional natural resources management program of the RCSA.

Regional and Transboundary Implications

Botswana's approach to CBNRM offers unique and complementary activities in the Southern Africa region as well as the rest of the CBNRM practitioner community. Therefore, the lessons learned over the period of B/NRMP need to be captured, analyzed, and shared. Relevant to this:

- ✍ Are the Botswana models and best practices well documented?
- ✍ What CBNRM lessons, models, best practices, policies, or methodologies from B/NRMP have significance for the Southern African region?
- ✍ Are any of the CBNRM areas candidates for trans-boundary conservation areas?
- ✍ Which elements of the B/NRMP can be incorporated into a regional natural resources management program?

Available Funding for CBNRM Initiatives

If there are elements of B/NRMP that require follow on funding after the PACD to accomplish sustainability, it is important to identify possible sources of funding. Funding may be available from a variety of sources, such as GoB agencies, local NGOs and international PVOs, bilateral and multilateral donors, and the private sector. In this context:

- ✍ Which sources of funds exist from GoB, NGO, and other donor agencies within Botswana for CBNRM activities?
- ✍ How are these funds accessed by CBOs and supporting service providers and other partners?

- ✍ Identify potential donors who plan on funding activities that merit further support after the B/NRMP PACD?
- ✍ What gaps will exist in funding when the USAID project closes?

2.3 Methods for Conducting the Assessment

A two person team conducted this assessment over a three-week period from March 6 to March 29, 1999. Information was collected from a variety of sources:

- ✍ review of project and related documents;
- ✍ interviews with CBO members at three CBNRM sites (Khwai, Sankuyu, and Gweta);
- ✍ interviews conducted with NRMP staff from both the Chemonics and the PACT technical assistance teams;
- ✍ discussions held with district council and district administration technical staff of the Northwest District;
- ✍ observations from a IUCN/SNV sponsored workshop, held in Maun, on the provision of services related to Enterprise Development;
- ✍ interviews held with USAID/RCSA staff;
- ✍ discussions held with selected tour operators in the Ngamiland area; and
- ✍ meetings with donor, NGO, and CBO network representatives in Gaborone.

In order to assess the viability of organizations and activities after the PACD, conceptual categories of sustainability have been defined and used (See Section 4). Based on the results of the sustainability analysis, options for interventions are discussed in Section 5 and their relevance to regional initiatives of the RCSA are presented in Section 6.

This assessment is not an evaluation of the performance of the technical assistance contractor and the PVO cooperator. Other evaluations previously have been completed on the first eight years of project activities and led to the present activities supported under Contract Amendment 6. This assessment gives a snapshot of the current situation - the expected outputs and impacts, elements that are sustainable and institutionalized, and gaps that need to be filled beyond the PACD in order to insure long-term objectives of B/NRMP.



**Assessment Team Members
Conducting Interviews in
Khwai Village**

3. PROJECT ACCOMPLISHMENTS

B/NRMP consists of six components:

1. Demonstration projects in CBNRM;
2. Planning and applied research;
3. Environmental and conservation education;
4. Personnel management and human resources development;
5. NGO and CBO support; and
6. Policy support.

3.1 Amendment 6 Requirements

Amendment 6 to the Project Agreement extended the B/NRMP PACD from May 1997 to August 31, 1999. During this two-year extension period, the overall expected result from the amended grant was the *accelerated adoption of sustainable natural resources management approaches in Botswana*. Three intermediate results (IRs) were expected:

- ✍ Functioning systems in place for the transfer of CBNRM best practices;
- ✍ An enabling environment must provide increased incentives for communities to adopt CBNRM; and
- ✍ Improved marketing infrastructure is required to move people and goods.

Several key indicators are included in the amendment in order to determine the degree of organizational sustainability and include:

- ✍ CBOs operating profitably and considered to be financially sustainable, or operating profitably from core revenues, for at least *three years* after the PACD;
- ✍ CBOs able to effectively manage their natural resources in a sustainable manner, or they should be able to effectively negotiate with joint venture partners, understand contracts and relevant regulations, prepare business plans, evaluate feasibility and finance options, as well as plan and implement CBO activities.

IR 1 expected functioning systems in place to support CBNRM and transfer its lessons regionally. Specifically, B/NRMP was expected, under the extended grant, to assist in establishing and strengthening a public sector CBNRM extension system, an NGO extension system, and SADC collaboration. It was expected that DWNP would have a functioning extension system in at least five districts, both in presence and quality of services provided to CBOs.

IR 2 expected incentives and appropriate policies in place to support CBNRM in Botswana as well as increased understanding of the CBNRM concept, its approach, and underlying policies and regulations.

3.2 NRMP Achievements

During its ten-year tenure, B/NRMP has contributed significantly to the development of CB/NRMP in Botswana. Before the B/NRMP, numerous conditions constrained CBNRM and included¹:

- ✍ Priority focus on agriculture and livestock production;
- ✍ No legal mechanisms for community enterprise formation;
- ✍ Limited extension support from DWNP or the NGO and private sectors;
- ✍ Lack of political support;
- ✍ Limited CBO management capacity;
- ✍ Poor regulatory authority;
- ✍ Very little access to market information; and
- ✍ Lack of available capital.

Table 1 lists the major achievements of the B/NRMP.



**Animator Trained Under
B/NRMP (NONOTSHO
Training) Facilitating
Strategic Planning
Workshop at Sankuyu**

¹ From NRMP/Chemonics presentation to DWNP, USAID/RCSA and this assessment team on 23 March 1999.

Table 1: NRMP Achievements

Project Component	Activity	Illustrative Outputs	Illustrative Results
Demonstration Communities	CBOs created & supported	<ul style="list-style-type: none"> ✍ CBOs established as legal trusts with constitutions ✍ Introductory course in financial management offered ✍ Leadership training provided through NONOTSHO ✍ Animators trained at NONOTSHO ✍ Joint ventures negotiated ✍ CBO escort guides established in several communities ✍ Community-based problem animal control (PAC) process introduced ✍ Awareness for importance of natural resources as revenue source heightened ✍ Business and marketing plans completed by NRMP staff for several CBOs ✍ Several alternative models introduced for management of wildlife and veld products (CECT and Sankuyu versus Kgetsí ya Tsie and Ukhwi) 	<ul style="list-style-type: none"> ✍ Six focus NRMP CBOs legally registered as trusts and another three also registered ✍ At a minimum, an additional 10 CBOs in process of registration (estimated that up to 38 CBOs are interested in CBNRM or are in process of formation) ✍ Six districts with formal CBNRM activities ✍ Estimate of 57 villages with 3600 households involved in CBNRM activities (1998) ✍ Approximately P2 million in revenue generated by CBNRM projects (1993-1997) ✍ Approximately 1000 jobs created ✍ About 40 animators trained at NONOTSHO. 20 more will be trained before PACD ✍ Approximately 61,800 km² under CBO control
	Introduced CBNRM planning process and organizational capacity assessment	<ul style="list-style-type: none"> ✍ Practitioners' Guide to CBNRM produced ✍ CB-monitoring process introduced and 	<ul style="list-style-type: none"> ✍ Two CBOs (Sankuyu and Ukhwi) piloted CB-monitoring

	tools	<p>piloted</p> <ul style="list-style-type: none"> ✍ Impact monitoring program initiated under project ✍ Development of Organization Capacity Assessment Tool (OCAT) ✍ Self-evaluation of organization strengths (OCAT) in focus communities ✍ Joint venture guidelines produced and promulgated ✍ Financial management course prepared and delivered ✍ District Technical Committees (TC) introduced and established ✍ Community Conservation Fund (CCF) established under NDP8 ✍ PRA & planning process contributed to GoB efforts to create Community-based Rural Development Strategy 	<p>process for recording wildlife trend data</p> <ul style="list-style-type: none"> ✍ Focus communities able to self-assess organizational capacity ✍ TCs assist tendering process in nine districts
	Networking and outreach	<ul style="list-style-type: none"> ✍ District consultation on CBNRM & CCF ✍ Expectations raised and spin-off to CBOs taking independent action ✍ National workshops and peer exchange contributes to better understanding of CBNRM ✍ Regional networking 	<ul style="list-style-type: none"> ✍ One series of workshops completed in eight districts in 1998. Another series of workshops on CCF to be conducted in 1999. ✍ Training provided to district staff on role of TC and proposal writing ✍ DWNP senior staff and NRMP COP attend regional PCC meetings and report on Botswana CBNRM ✍ Regional peer exchange, such as Namibia monitoring workshop ✍ UNDP regional workshop held

			<ul style="list-style-type: none"> in Kanye ✍ Facilitated SADC-sponsored Organizational Development workshop ✍ Quota setting workshop in Zimbabwe
Planning and Applied Research (<u>mostly completed prior to Amendment 6 to the Project Agreement</u>)	Park and WMA planning	✍ Prepared park and WMA plans	
	Assisted DWNP in monitoring and database development	<ul style="list-style-type: none"> ✍ Introduced integrated socioeconomic and biophysical impact monitoring process ✍ Assessed DWNP database network and data coordination conflicts 	<ul style="list-style-type: none"> ✍ Compiled data for a variety of impact indicators ranging from number of CBOs to revenue generated to employment for 1993-97 period ✍ Assessed 26 DWNP databases and proposed integrated database
Personnel Planning and Training	Human Resources Development within DWNP	<ul style="list-style-type: none"> ✍ Assessed needs, prepared training plan and drafted new job descriptions ✍ Computerized personnel records ✍ Improved recruitment and job entry process ✍ Supported international, regional, and short-course training ✍ Created DWNP Extension Unit (to be upgraded to Division) 	<ul style="list-style-type: none"> ✍ Job descriptions completed ✍ Staff trained to run computerized personnel management system ✍ Staff capable of producing annual training plans ✍ Supervisory training courses conducted for 60 middle-level managers ✍ Numerous DWNP staff completed degree training in U.S. and South Africa

	Strengthening the capacity of the Botswana Wildlife Training Institute (BWTI)	<ul style="list-style-type: none"> ✍ Revised modular curriculum prepared and tested ✍ Training materials for each module being finalized ✍ In-service and pre-service programs strengthened ✍ GoB capital fund investment to substantially upgrade facilities ✍ Staff skills being upgraded ✍ Certification committee formed 	
Conservation and Environmental Education	Formal education methods and practices supported (<u>mostly completed prior to Amendment 6 to the Project Agreement</u>)	<ul style="list-style-type: none"> ✍ Teachers' education workshops and guides ✍ Environmental education videos 	
	Conservation education – informal	<ul style="list-style-type: none"> ✍ Radio programs ✍ Videos on CBNRM 	<ul style="list-style-type: none"> ✍ Setswana video on CBNRM ✍ DWNP weekly radio program on CBNRM issues ✍ NCS video packs produced and distributed to all school districts and Regional Education Centers
NGO and CBO Support	NGO support	<ul style="list-style-type: none"> ✍ Small grants to improve capacity of existing NGOs ✍ Support to NGOs who support CBOs directly 	<ul style="list-style-type: none"> ✍ Women's Finance House supported in Kgetsi ya Tsie project ✍ Assisted Thusano Lefatsheng with grapple marketing plan ✍ BOCONGO supported to develop resource center, newsletters and updated NGO

			<ul style="list-style-type: none"> ✍ directory ✍ CORDE assisted in workshop facilitation ✍ Permaculture supported in computerization of records and staff training
	CBO Network Development	<ul style="list-style-type: none"> ✍ CBO network and service provider BOCOBONET proposed and established 	<ul style="list-style-type: none"> ✍ CBO membership identified and formed ✍ Organizational structure established ✍ Functions proposed ✍ Office opened and initial equipment purchased ✍ Support funding from SNV ✍ Three-year business plan prepared
Policy Development	Policy Review and Revision	<ul style="list-style-type: none"> ✍ CBNRM and Veld Products policy development ✍ WMA regulations prepared (1996) ✍ Other policies influenced by NRMP, such as Tourism Policy (1992), Community-based Rural Development Strategy (1997), Community Concessions to CHAs (1995) 	<ul style="list-style-type: none"> ✍ Draft CBNRM and Veld Products policies to be integrated into one policy in 1999

4. ELEMENTS OF SUSTAINABILITY

4.1 Definitions of sustainability

Sustainability is not a single-dimensional phenomenon. Indeed, some aspects of a project legacy may be sustainable along one dimension but about to collapse along a second one. Thus, any discussion of the apparent ability of a project component to endure past the financially flush period of donor support should consider the different dimensions of sustainability.

Two dimensions encompass the overarching goal of any integrated conservation and development program such as B/NRMP. Those two types of sustainability are:

- ✍ **Ecological sustainability** -- which involves not extracting a natural resource in a manner that reduces its robustness or at a higher rate than its natural replacement rate and not altering ecosystems in ways that cause their resilience to deteriorate; and
- ✍ **Socio-economic sustainability** -- which involves the continued demand for the goods and services produced by an activity, the degree of vulnerability to market changes, and the flow of economic and social benefits well into the future.

In addition to the ultimate objectives noted above, there are two other aspects of sustainability that are important as means for attaining the two dimensions above. Those two are:

- ✍ **Financial sustainability** – which involves obtaining adequate financing to support activities well into the future as well as avoiding short-term collapse due to cash-flow inadequacies; and
- ✍ **Institutional sustainability** – which involves the managerial capacity and performance incentives, policy support, legal rights and social values of participating organizations and groups whose actions affect the continuation and nature of the activity.

This disaggregation of the term “sustainability” can help to identify different bottlenecks and opportunities for ensuring continued project impact as well as focusing our attention on the presence or absence of strategies for achieving each dimension. Indeed, awareness of the four dimensions stimulates consideration of all of them in any strategy to achieve a situation whereby CBNRM becomes self-sustaining. An initial question in assessing the sustainability of an initiative, then, is “Does it incorporate a focus on all four dimensions in its overall strategy?”

Table 2 notes some strategies that would be expected components of an NRMP project to ensure sustainable impact along each dimension:

Table 2: Expected Strategies to Achieve Sustainability

Dimension	Strategy
Ecological	<ul style="list-style-type: none"> ✍ Establish sustainable yield levels and techniques for natural products ✍ Monitor and regulate harvesting levels ✍ Monitor and contain environmental impact of harvesting and non-harvesting activity (e.g. Collateral damage, waste disposal, population growth, construction, vehicle use) ✍ Limiting activity levels and growth related to ecosystem condition
Socio-economic	<ul style="list-style-type: none"> ✍ Securing market access ✍ Targeting growing and stable markets ✍ Studying market characteristics and trends ✍ Monitoring both supply and demand for goods and services ✍ Creating mechanisms for equitable benefit access ✍ Projecting future benefit flows
Financial	<ul style="list-style-type: none"> ✍ Creating endowments to generate income ✍ Collecting fees ✍ Guaranteeing tax support ✍ Providing up-front capitalization ✍ Securing loan access
Institutional	<ul style="list-style-type: none"> ✍ Clarifying or securing legal rights to use resources or conduct activities ✍ Establishing appropriate structures and procedures and training people to conduct activities ✍ Promoting and obtaining supportive policies both within and outside implementing organizations ✍ Examining existing incentives for required performance and creating supportive ones as needed ✍ Identifying organizational champions and building activities around them ✍ Creating linkages with technical, legal, political and client organizations and stakeholder groups as appropriate ✍ Providing physical, financial and human capital and adequate means for maintaining and upgrading them

The question then is, “To what extent does the Botswana CBNRM initiative incorporate such strategy components and to what extent are they working?” This question is addressed according to the four main categories of sustainability – ecological, socioeconomic, financial, and institutional.

4.2 Degree of Sustainability and Opportunities to Improve Sustainability

4.2.1 Ecological

Although B/NRMP is a natural resource management project, the current focus largely ignores activities to ensure the sustainability of those resources. Development of sustainable yield levels, development of methods to determine those levels, incorporation of those results into decision-making, and assessment of the environmental impact of community investment and joint venture activity have been superseded by attention to the internal operation of community trusts. This situation could threaten the long term success of any of the other elements of sustainability.

These conclusions can be stated with respect to the ecological sustainability of NRMP activities:

- ✍ Sustainable yield levels for wildlife and veld products have not been established and are unknown – aerial surveys have not been done recently on a consistent basis and data in some areas are suspect (see Appendix B);
- ✍ Community-based monitoring systems have only been piloted in 3-4 communities and the methods and approaches are far from clearly understood or standardized;
- ✍ Environmental impact of tourism, hunting and gathering activities is not being monitored; and
- ✍ There is anecdotal evidence that people may be moving into trust areas drawn by the lure of benefit sharing².

² Based on interviews conducted in Khwai and Sankuyu in March 1999.

4.2.2 Socioeconomic

The recent boom in tourism in Botswana has led to unbridled optimism on the part of those engaged in tourism-based entrepreneurial activity. But no studies are available to assess the prospects for the continuation of this boom, sources of competition, or market saturation. The assumption is that people will come to view or hunt megamammals in Botswana. It may be true, or it may not. Windfalls to CBOs may be fleeting, or they may be lasting well into the next century. But it would be useful to have a better approximation than this. Sound financial and institutional strategies cannot be developed in a void.

The main socioeconomic sustainability findings are:

- ✍ Securing market access for wildlife is the responsibility of private sector joint venture contractors and their incentive is to keep this function for themselves; and
- ✍ Few studies of the markets for trophy hunting, photo- and cultural-based tourism, game watching, or veld products have been conducted and thus it is impossible to predict market saturation levels or trends.

4.2.3 Financial

Some CBOs are financially strong while others are on the brink of insolvency. Chobe and Sankuyu, for example, have large cash reserves but Gweta is burdened by an outstanding loan of P120,000 plus a recurring storage cost for marula in South Africa. At the same time that some organizations have cash-flow problems and others have cash surpluses, none of those assisted by B/NRMP have adequate organizational structures to deal effectively with either circumstance. The situation is mixed.

The forecast for future access to training and capitalization funds is also mixed. Although a Community Conservation Fund (CCF) of P8.2 million has been established, none of that money has been disbursed to date and the procedures for doing it are not clear. Financial sustainability is not yet secure.

The main financial sustainability issues are:

- ✍ A few CBOs with high-value wildlife assets have amassed large cash balances that could provide the basis for endowments or emergency funds;
- ✍ CCF grants are available for planning and for limited up-front capitalization, but are inefficiently managed, potentially leading to confusion and delayed

disbursements;

- ✍ Lack of distribution of cash balances in CBO accounts is a concern of many CBNRM practitioners, but we do not see this as a current issue³; and
- ✍ Some CBOs are vulnerable to bankruptcy.

4.2.4 Institutional

A combined wildlife and veld products policy is on the brink of preparation. Two separate policy drafts exist and a decision has been made to integrate them before presentation to the cabinet. Estimates are that this will soon happen. But there are other indications that the institutional side of sustainability is advancing slowly and unevenly.

Appropriate organizational structures and management capacities are noticeably lacking in CBOs. Mechanisms, processes and incentives for linking CBOs to the sources of the services that they need are also missing. Even the presence of outstanding facilities, such as those at BWTI, are hindered by institutional constraints that lead to an inability to contract out building use even though the center is only 21% utilized. There are recent indications that DWNP is committed to the development of divisional status for its future extension service. Thus, this too is mixed.

Several conclusions can be made about institutional sustainability:

- ✍ Legal rights to veld products are not yet secure;
- ✍ CBNRM policies appear to be appropriate but they still are pending;

³ Various interpretations can be advanced to explain and support the lack of distribution. One is that accumulating an endowment principle to generate income during later periods is a wise way to treat a large windfall as well as an internationally-recognized strategy for developing substitute income sources to compensate for the depletion of non-renewable resources (wildlife utilized at sustainable yield levels should be renewable, but climate change could alter that situation). A second is that accumulation of a large cash fund during wet years can be used as an emergency fund to be tapped during dry years (after all, *Pula* means “rain” and this approach is consistent with traditional cattle management practices in Botswana). Since sustainable development involves looking beyond an immediate time horizon, non-distribution may reflect a concern with sustainability. A third is that the trust structure is not yet institutionalized to the point that the Board of Directors is comfortable depleting any reserves without a strategic plan. Uncertainty about the returns and risks attached to alternative investments and an awareness of fiduciary responsibilities also buttress an unwillingness to touch the principle. Each of these perspectives leads to a positive interpretation of the actions of the Board and a lack of distribution of cash benefits. Thus, contrary to some observers, we do not consider this to be a problem. We do not know the actual reason for non-distribution. But empowerment means that the trusts make their own decisions independent from observers’ preferences and since empowerment is an objective of CBNRM, this should be respected.

- ✍ Limited champions with incentives for supporting CBNRM and CBOs have been identified;
- ✍ Few providers of appropriate services are known to CBOs and easily accessible;
- ✍ Community trusts have boards of directors but do not have adequate management structures for implementing entrepreneurial support activities;
- ✍ The NGO community is weak and unable to provide adequate linkages to technical assistance sources; and
- ✍ DWNP is creating a nation-wide extension service to support CBNRM, but has no clear idea of its extension role and limited capacity to implement district-level extension programs.

Table 3 summarizes our findings along the four dimensions of sustainability. First, we specify key elements that appear to describe the situation as of the time of the rapid assessment mission and near the end of project implementation. Second, we indicate the degree of sustainability according to the following categories:

- ✍ **Highly sustainable** – those processes or activities that have successfully institutionalized and show high promise of being carried on by GoB, NGOs, CBOs, or other actual or potential partners after the PACD without further assistance from USAID;
- ✍ **Moderately sustainable** – those activities or processes that are making progress towards anticipated results and will continue, although at perhaps a slower pace, without further assistance from USAID; and
- ✍ **Not sustainable without further support** – activities that have been started and show promise, but are not sufficiently institutionalized to carry on without further donor assistance.

Third, we list in Table 3 bottlenecks or opportunities that we consider central to the legacy of CBNRM.

Table 3: Degree of Sustainability

DIMENSION	NRMP ELEMENT	DEGREE	COMMENTS ON OPPORTUNITIES/NEEDS
Ecological Sustainability	✍ GoB has capacity to monitor natural resources and analyze ecological sustainability of natural resource use	Not sustainable to Moderately Sustainable	<ul style="list-style-type: none"> ✍ Need to establish sound methods and procedures for identifying sustainable yield levels for flora and fauna ✍ Need to conduct environmental impact assessments of activities in trust areas
	✍ CBOs understand basics and methods of conducting biophysical inventories and monitoring and effectively using information to make management decisions	Not sustainable	✍ Need to establish sound methods and procedures for identifying sustainable yield levels for flora and fauna and for CBO collection of trend data useful for management ⁴
Socio-economic Sustainability	✍ Market information, systems, and networks well established and CBOs able to effectively use the information to make financial decisions	Not sustainable	✍ Need to identify market trends, saturation points and competition for CBO products and resources

⁴ See Appendix B, Trip Report of Dr. Pat Foster-Turley

Socio-economic Sustainability (Con't)	<ul style="list-style-type: none"> Benefits are distributed or reinvested by CBOs 	See Footnote 2	<ul style="list-style-type: none"> Need better understanding of how CBO Trusts make decisions regarding revenues generated from either joint venture partnerships, veld product production. Some Trusts have distributed benefits, while some, like Sankuyu, are accumulating assets.
Financial sustainability	<ul style="list-style-type: none"> CBOs have access to reliable and appropriate financial service providers 	Not sustainable	<ul style="list-style-type: none"> CCF efficiency is key to follow-up activities Mechanisms to access short-term credit need to be developed for some CBOs Financial management capabilities need help Need to identify potential providers
	<ul style="list-style-type: none"> Sustainability of CBO revenue generating activities 	Range of circumstances. Definitely not sustainable for certain CBOs, like Gweta	<ul style="list-style-type: none"> Vulnerable CBOs must be left solvent Case studies would add to understanding a range of situations, from high value added joint ventures to trusts located in more marginal areas
Institutional Sustainability	<ul style="list-style-type: none"> Laws and policies in place to support CBNRM Resource rights adequate to control access, use and sale natural resources 	Moderately sustainable	<ul style="list-style-type: none"> DWNP CBNRM and MOA Veld Products policies being integrated and likely to be submitted to cabinet within six months Assistance to free GoB bottlenecks may be important for improving the quality and impact of GOB policy implementation policy implementation needs to be monitored the test of the validity of GoB policy will be the result of GoB action and CBO performance in the next 10 years

Institutional Sustainability (Con't)	<ul style="list-style-type: none"> ✍ CBO organizational structures appropriate and in place to effectively manage 	Not sustainable	<ul style="list-style-type: none"> ✍ management assistance will be a critical element in CBOs maturing and a mechanism for identifying and providing it will be essential for a follow-on ✍ CBO maturity needs to be assessed
	<ul style="list-style-type: none"> ✍ Extension system capable of providing appropriate and timely support to CBOs and practitioners trained and skilled 	Not sustainable	<ul style="list-style-type: none"> ✍ Roles need to be defined for organizations (GoB, NGOs, CBOs, and PSOs) capable of providing services/advice and partners need to coordinate better ✍ GoB and NGOs need to build skills and capacity ✍ Other potential partners need to be identified and skills assessed ✍ Strategic opportunity to assist extension providers develop programs, especially DWNP
	<ul style="list-style-type: none"> ✍ CBO network represents, advocates for, and provides services to member CBOs 	Not sustainable	<ul style="list-style-type: none"> ✍ BOCOBONET needs support and technical assistance to insure that organization functions well as broker and not as another NGO service provider
	<ul style="list-style-type: none"> ✍ CBOs understand CBNRM policies ✍ CBOs and PSOs understand their respective responsibilities in joint ventures and able to form collaborative and trusting partnerships 	<p>Moderately sustainable</p> <p>Moderately sustainable</p>	<ul style="list-style-type: none"> ✍ District Technical Committees could provide valuable assistance in CBO outreach ✍ Too many disincentives to effectively partner ✍ Need to build trusting relationships between joint venture partners
	<ul style="list-style-type: none"> ✍ BWTI providing CBNRM-related training 	Moderately sustainable	<ul style="list-style-type: none"> ✍ Effectiveness of training programs depends on flexibility BWTI has in contracting consultants and trainers, renting out facilities, and marketing its services

	<p>✍ CBNRM best practices identified, understood, documented, and transferred to the region</p>	<p>Not sustainable</p>	<p>✍ Best practices, especially in case study format, need to be routinely identified, understood, and documented and systems for integration into the region need to be better developed</p>
--	---	------------------------	---

Table 3 indicates most of the key elements have not yet reached a stage that they can continue without some form of donor assistance. This is not an indictment of USAID's efforts with the B/NRMP or the performance of the implementation contractor and cooperator. Instead, several reasons can be formed for this, including the following:

- ✍ CBNRM efforts worldwide have demonstrated the complexity of the model. Establishing the enabling framework and the institutional supporting mechanisms takes substantial time and support. The 1997 final evaluation suggested a five year extension period with a minimum of two years as an option. USAID/RCSA extended the Project Agreement for two years. It appears that the additional three years may be necessary for insuring the sustainability of CBNRM in Botswana;
- ✍ The intermediary organizations (e.g. NGOs) have not been strengthened to the extent necessary to support CBOs and CBNRM in Botswana. For the most part, B/NRMP worked directly with CBOs and not sufficiently through intermediary organizations. Therefore, the support network development still needs more time; and
- ✍ B/NRMP played a very important role in promoting CBNRM and building political support. However, champions, in terms of implementing programs and activities, still need to be identified and supported.

For enhancing sustainability, the options now available to USAID/RCSA do not require the same level of effort as suggested in 1997. Interventions should be more strategic and at a much lower level of effort. In addition, USAID/RCSA should integrate efforts with other regional programming in order to optimize the impact of its interventions. In the following sections, we propose options for strategic interventions for USAID/RCSA to consider to improve sustainability of its previous bilateral CBNRM program in Botswana.

5. STRATEGIC INTERVENTIONS

Based on our assessment of sustainability, what type of overall support is necessary from donors and intermediary organizations? Support is needed for (1) targeted efforts that ensure the evolution of Botswana's CBOs and their service provision network to maturity, as well as efforts that (2) capture the totality of the experience with the Botswana model, (3) compare it to other models in the region, and (4) disseminate the lessons of the comparative experience to regional bilateral missions and other CBNRM actors.

Within these four categories, six approaches are proposed:

- ✍ Support key CBOs to reach maturity;
- ✍ Pilot a regional support services network;
- ✍ Develop appropriate monitoring approaches, especially those required at the community level;
- ✍ Assist DWNP define its extension division role and strengthen the management of the CCF;
- ✍ Assist BWTI with its institutional transition; and
- ✍ Compile and disseminate regional CBNRM lessons through case studies.

5.1 Programming Options

A few other donors, already working with natural resources management in Botswana, are attempting to fill the perceived void that will be left when USAID exits its major role in CBNRM in Botswana. But fatal cracks in the wall of new initiatives could doom those other donor efforts. Selected, targeted and limited interventions to fill those cracks could both ensure a higher probability that the new initiatives will work and define a way for USAID to protect its previous investment.

In the next several sections, in stages, we discuss a strategic intervention package for USAID/RCSA. First, we present an overall package of interventions required in Botswana towards meeting a sustainable framework for CBNRM. Then we outline some donor and GoB resources available or planned as potential sources of support. Next, gaps in the funding arena are identified, leading towards a description of areas in which USAID has a comparative advantage or where other donors have little interest in intervening and proposing specific actions for the regional mission to pursue. Finally, the proposed interventions are integrated into the planned USAID/RCSA regional programming objectives.

Overall, to support CBNRM in Botswana, strategic interventions should support:

- ✍ A 3-year pilot project with a limited geographic focus (logically in Ngamiland) incorporating the above elements and focusing on selected CBOs and a regional division of BOCOBONET to develop support service linkages and act as an advocate for CBOs;
- ✍ Short-term technical assistance to develop the management procedures for the CCF combined with a resident advisor as Director of the new DWNP Extension Division to guide CCF implementation and the evolving DWNP extension focus;
- ✍ Resident (long-term) advisor at IUCN to address the information gaps that impede efforts to determine the ecological sustainability of the CBNRM efforts;

- ✍ Series of case studies of variation within the Botswana model, a synthesis study of the Botswana experience including differences among CBO circumstances,⁵ and a regional synthesis to distill regional lessons and disseminate them as part of the pilot;
- ✍ Short-term technical support to assist the transition of BWTI institutional status (no one else has indicated they will be doing this and it could make a well-placed facility available to support the new initiatives);
- ✍ Grant to a local institution with previous involvement in CBNRM to ensure that knowledge of experience gained during the USAID B/NRMP period is passed on to the inheritor organizations involved in the new initiatives;
- ✍ Financial bail-out for the Gweta CBO to eliminate its loan balance and end the need to pay storage for marula in South Africa (if it is not solvent by July 1, 1999); and
- ✍ Other short-term technical assistance on an as-needed basis for both environmental issues (*e.g.*, environmental impact statements for selected campsites, tour activities, veld harvesting practices or infrastructure projects), social/economic/financial/institutional issues (*e.g.*, contracting practices⁶), or to

⁵ For example, observers of CAMPFIRE have suggested that the presence of the following factors assists success and explains much of the difference in performance among different locations:

- ✍ Ethnic homogeneity and cohesiveness within the community combined with a settlement pattern characterized by high density and low in-migration;
- ✍ A high value resource base matched with low population size;
- ✍ A large distance from an all-season road for wildlife resources and proximity to an all-season road for non-wildlife resources;
- ✍ An effective network of support institutions; and
- ✍ Able individuals operating within a supportive legal framework and appropriate organizational structure.

⁶ This is a central issue that could benefit from an anthropological examination of traditional contracting practices in selected CBO locations. Some of the disconnects among communities, TCs, and private operators in interpretation of the finality of tender acceptances may be attributable to cultural differences. For example, Mamadou Dia of the World Bank has argued that in many African societies contracts are not valid without a third party acting as an “enforcer” of, or witness to, the two-party agreement and he attributes some difficulties with performance on covenants in World Bank agreements to this fact. He suggests that traditional interpretations of contract law may not coincide with international interpretations. A similar situation may exist here. For many years Botswana had a dual legal system where the traditional courts were responsible for family law, land use and local conflict resolution and the national courts had jurisdiction over criminal law, corporate law, torts and contracts. But gradually the national law has been encroaching on the domain of traditional law (*e.g.*, land law) and CBNRM may be forcing another interaction between the two. When CBOs contract with private operators as joint venture partners the two legal traditions meet head on and expectations about bidding processes, performance and contract adjustments may not be able to bridge the divide. Appropriate short-term technical assistance might be able to identify whether or not that is the case and offer some solutions to the problem. Circulating that TA report throughout the region via a regional network could help to raise awareness of the issue, identify

support the development of BOCOBONET's role as a broker of CBO services and advocate for CBOs rights.

5.2 Discussion

The eight options introduced above may be seen as independent leverage points to fill gaps in the CBNRM process or they can be seen as an integrated package to ensure the transition from CBO adolescence to maturity.

5.2.1 Pilot Project

As mentioned above, focus CBOs of B/NRMP need further support in reaching maturity. In addition, those CBOs need a support network of service providers and advocates. The question, however, is "How to intervene to ensure that selected CBOs grow to represent mature organizations?" But how will we know when the focus CBOs, ones that have already received substantial assistance under B/NRMP, will reach a point of long-range viability. An illustrative list of indicators demonstrating that the launch point (or stage of maturity) has been reached might include:

- ✍ adoption of an organizational structure that goes beyond a board of directors to include subcommittees or other units, such as a management team, to manage specific activities;
- ✍ satisfactory operation for one annual cycle of the units or one year of satisfactory performance by a manager hired to conduct one of the activities;
- ✍ financial solvency for at least one year;
- ✍ existence of at least three trained animators in each CBO territory and at least one operating group of animators serving the CBO community; and
- ✍ at least two contracts between each CBO and service providers (not joint venture partners) completed to the satisfaction of both parties.

A three-year pilot project, with a limited geographic focus is proposed as a necessary follow-on activity of B/NRMP. This pilot project should focus on two components:

- ✍ Support to B/NRMP focus CBOs that have not met agreed upon criteria for reaching maturity; and

whether it is or is not common elsewhere, and improve the process of CBNRM implementation region-wide.

- ✍ Support to building a district-based network that enhances the ability of all potential partners to coordinate on the provision of services and in advocating for CBNRM.

The first component of the pilot project should consider the following process for determining the extent of maturity of existing B/NRMP CBOs and for preparing follow-on activities:

- ✍ Conduct final evaluation of B/NRMP-supported CBOs to determine their level of maturity. In preparing for the evaluation, identify criteria (indicators) that define whether a CBO has reached maturity. The indicators listed above could be used as a guide for developing evaluation indicators, but a team of USAID/RCSA and B/NRMP technical advisors should prepare the criteria that will be used in evaluating the maturity of the focus CBOs; and
- ✍ After evaluating the CBOs, those that are not likely to mature at this time should be considered for continued technical support. This support would focus on organizational development to advance appropriate management structures and strive to make CBO management teams more capable of sound financial management. Contract mechanisms for providing this technical assistance should insure minimal disruption between the PACD and continuing support to the focus CBOs. Technical advisors, however, should have relevant backgrounds, including substantial institutional management or organizational development experience with rural CBOs in developing countries

The objective of the second component of the pilot project is to build a district-level service and advocacy network. Illustrative steps in this process are to:

- ✍ Identify potential partners at the district-level. This could include private tour operators, CBOs, district council and district administration technical officers, NGOs, consultants, businesses, parastatals, training and research institutes, and others that could assist in supporting CBNRM;
- ✍ Design and facilitate a participatory, action planning workshop format for on-going dialogue among the partners. Workshops result in action plans that individual partners are willing to complete and follow-up periodic workshops allow for monitoring progress toward action. In this manner, effective partnerships can be built as people and organizations make commitments to each other; and
- ✍ Identify service, advocacy, and networking roles that partners are willing to fill and identify alternative sources or training necessary to address gaps.

This networking process requires expert facilitation. A pilot networking project activity would need to provide technical assistance in the form of a facilitator (long-term advisor) for 2-3 years. The pilot would result in:

- ✍ District-level network, with local service providers and champions identified;
- ✍ Self-defined CBNRM roles according to interest and capacity to provide appropriate services;
- ✍ Increasing trust among partners and better understanding of CBNRM among those partners currently not fully utilized; and
- ✍ Well trained animators arising out of the participatory workshop, from CBOs to PSOs.

Because of the number of both B/NRMP-supported and newly emerging CBOs, it is recommended that Ngamiland (Northwest District) be considered for the pilot district for both gaining CBO maturity and to build a district-level service and advocacy network.

5.2.2 Support to DWNP to Improve Extension Services

DWNP is redefining the role of its Extension Section. In fact, DWNP is proposing the upgrading of the Extension Section to a division, with a Deputy Director in charge. DWNP hopes to hire an international advisor to lead it in this effort. However, DWNP feels that their local contracting procedures and budget will not be adequate to hire a qualified advisor for this role.

Financial sustainability is also crucial to overall sustainability and the substitution of internal funding for external funding is essential for achieving this. The P8.1 million Community Conservation Fund to be managed by the DWNP is the mechanism that will allow this to happen. A breakdown in the management of this fund will have dire repercussions for the growth, evolution and sustainability of CBNRM in Botswana.

To date, four CCF applications have been approved but no money has been disbursed. There is no procedures manual showing the disbursement process and responsibility for steps in it. It is stalled.

Because of the potential impact of intervention with DWNP, strategic support for both a long-term technical assistance position as Director of the new DWNP Extension Division to guide CCF implementation and the evolving DWNP extension focus and short-term technical assistance to develop the management procedures for the CCF could have significant impact on future support services from DWNP. Additionally, advisors to DWNP could help insure that the role that DWNP defines is appropriate for a wildlife

and protected areas organization and that they do not attempt to define an inappropriate role (such as business advisors to CBOs).

The short-term assistance to the CCF could be enhanced as part of a targeted support for DWNP to help the department create an extension service that truly assists CBNRM. Such support could include funding for the first Director of the Extension division as well as a small array of short-term TA to complement that position and target particular constraints that are identified during a 2-year period.

5.2.3 Improving Knowledge of Ecological Monitoring Methods

Scientific basis for numerous approaches to community-based monitoring and regional monitoring of wildlife and veld products is missing in the CBNRM efforts. Consequently, monitoring efforts have been unfocused and sporadically utilized. A process is required to better introduce scientifically derived and commonly accepted monitoring processes to CBNRM. This includes the following four steps:

- ✍ Scientifically define levels of sustainable yield;
- ✍ Compile regional examples of monitoring, lessons learned, and possible utility for the Botswana context;
- ✍ Pilot community-based and larger scale monitoring for migratory species in Botswana and evaluate results; and
- ✍ Institutionalized best practices

5.2.4 CBNRM Best Practices

Commissioning a series of case studies of variation within the Botswana model, a synthesis study of the Botswana experience including differences among CBO circumstances, and a regional synthesis to distill regional lessons and disseminate them as part of the pilot is important to capture the lessons of the CBNRM experience. The picture of an organization that emerges after two years, for example, may be very different than the one that appears after five years. A weakling may turn into a robust one, or a strong one may prove to have fatal flaws. Thus, longitudinal case studies are needed to examine the evolution of different stages as well as the use of different responses to different problems that appear only through time. If the organization is not traced to either maturity or collapse, the snapshot lessons may turn out to be inaccurate. Those lessons should include both the experience of trust development and management and the role of context factors (such as low NGO density and capacity, governmental financial strength, and initiation point in the weather cycle) that shape that experience.

But single cases also suffer from the inability to assess the relevance of the lessons across national borders and ecological frontiers. For example, the fortuitous beginning of a few Botswana CBOs with high value wildlife resources allowed them to amass large cash balances. This provides an opportunity to study and learn from them how this affects their progress at later stages of organizational development. This also supports the need to continue to help selected CBOs to mature and evolve new structures, processes and activities. But studies of organizations with early cash-flow difficulties could either show similar or different impacts of this element. Maybe it is important, or maybe not. Thus, both case studies and a synthesis study are needed to fully appreciate and understand the experience. The lessons from Botswana should also be combined with lessons from elsewhere in the region to identify contradictions, commonalities, variations and patterns.

5.2.5 Support for BWTI Institutional Transition

BWTI is an underutilized facility, with expansion plans, that is located in Maun – near many of the USAID-assisted CBOs. It is also unable to effectively contract out its physical plant because it is bound by cumbersome GoB procedures. However, there is talk of transforming it into a parastatal or other form of flexible institution. But the problem is one of time. A new status that allowed it to become a locus for CBNRM training activity after the next phase of CBO assistance would not help the process.

From this perspective it is easy to see that the timing of the transition is crucial. It should precede further effort to support that effort. Providing a short-term consultant to sort out the procedural requirements, prepare the needed documents and facilitate their travel through the maze of approvals and reviews, could constitute a relatively minor cost, yet a very important contribution to the continuation of the CBNRM process.

5.2.6 Transfer of Lessons Learned

Another method of building on lessons learned provide a grant to a local intermediate organization with previous involvement in CBNRM to ensure that knowledge of experience gained during the USAID B/NRMP period is passed on to the inheritor organizations involved in the new initiatives.

5.2.7 Support to Gweta to Reach Solvency

The B/NRMP acted to help the Gweta trust in its marketing initiative. The knowledge of this experience will not remain localized. The consequences of leaving this organization dangling are not positive. If the situation does not resolve itself by July 1, 1999, a one-time financial bailout that cancels the remaining debt and eliminates liability for the stored marula should be undertaken.

5.2.8 Short-term Technical Assistance

There will be other points of intervention that could loosen key bottlenecks. As they are identified, appropriate technical assistance personnel can be brought in to address them, on an as-needed basis for both environmental issues and social/economic/financial/institutional issues.

5.3 Donor Profile

The closing of B/NRMP and withdrawal of USAID funding to DWNP and the CBNRM sector raises the concern about gaps in donor and GoB funding to continue activities, especially those identified in the previous section. However, it appears that several donors, international NGOs, and the GoB plan to continue supporting CBNRM in Botswana in some fashion. This is partly because of the growing commitment to CBNRM and partly because CBNRM has become a high profile sector for donor investment.

Table 4 lists current and planned donor and GoB programs that are relevant to CBNRM and potentially available to CBOs.

Table 4: Potential Donor and Government of Botswana Funding Sources

Funding Source	Current Program	Planned Focus	Comments
GoB/DWNP -- Community Conservation Fund (CCF)	<ul style="list-style-type: none"> ✍ Provides P8.2 million over NDP8 period ✍ Available for planning grants, technical assistance, and limited capital funds for CBOs ✍ Administered by DWNP 	Same	<ul style="list-style-type: none"> ✍ Have awarded four grants to CBOs ✍ Disbursements delayed ✍ Confusing guidelines and regulations on grant administration, including disbursement
GoB – Financial Assistance Policy (FAP) and Integrated Field Services (IFS)	<ul style="list-style-type: none"> ✍ FAP provides temporary support for new industries created in manufacturing, agriculture, and tourism among others. ✍ IFS provides technical training in marketing, craft production, and business 	Same	<ul style="list-style-type: none"> ✍ Would be useful to assess potential usefulness of IFS and ease of access to FAP funds. ✍ Possible to link IFS with service network, especially through the pilot district-level networking project.

	management		
GoB – Community-based Rural Development Strategy	<ul style="list-style-type: none"> ⌞ Funds are available through Rural Development Unit (RDU) of MFD for workshops, symposia, and planning ⌞ Guidelines and disbursement need better clarification for relationship to CBO needs 	<ul style="list-style-type: none"> ⌞ RDU plans on coordinating Community-based Rural Development Strategy through existing GoB local government funds 	<ul style="list-style-type: none"> ⌞ Good potential to coordinate with RDU to access local government funds through district councils and to facilitate better coordination of government programming with CBNRM ⌞ Numerous local government funds available through district councils, such as LG1106 (RADP) that could be used for planning and rural development
Hotel and Tourist Association of Botswana (HATAB)	<ul style="list-style-type: none"> ⌞ Sporadic collection of data on tourism in Botswana 	<ul style="list-style-type: none"> ⌞ Training on financial management and hotel and lodge services ⌞ Plan to initially focus its activities in Ngamiland 	<ul style="list-style-type: none"> ⌞ HATAB would like to link with NRMP/PACT on George Orr's financial management course. HATAB might be interested in providing the home for this training, as well as trainers
SNV/Netherlands Development Organization and the World Conservation Union (IUCN)	<ul style="list-style-type: none"> ⌞ SNV supported CBO development and CBNRM in Ghanzi and Kgalagadi Districts ⌞ SNV focus has been on improving employment and living conditions among Remote Area Dwellers ⌞ SNV working with IUCN to facilitate discussion among practitioners about coordination and best practices ⌞ IUCN supported NCS in Botswana 	<ul style="list-style-type: none"> ⌞ Assistance to strengthen BOCOBONET in area of advocacy, networking, and service provision to member CBOs ⌞ To develop and document CBNRM best practices in Botswana ⌞ IUCN will continue NGO support program to develop CBNRM information center and provide technical strengthening 	<ul style="list-style-type: none"> ⌞ SNV will be working with IUCN to share one technical advisor, with previous Botswana experience, for both the BOCOBONET strengthening and the compilation of best practices. BOCOBONET could use more consistent technical assistance. Advisor available to IUCN and SNV for five years ⌞ IUCN will also

	<ul style="list-style-type: none"> Since 1994, IUCN, with support from HIVOS, implements the Botswana NGO support program, promoting dialogue among potential partners on CBNRM policy 	<ul style="list-style-type: none"> services to NGOs in Botswana 	<ul style="list-style-type: none"> integrate Botswana best practices into its regional programming to compile Regional best practices IUCN would like to include best practices work on limits of acceptable change (LAC) but this would stress the capacity of one technical advisor
Department for International Development (DFID)		<ul style="list-style-type: none"> Initiating poverty alleviation program in Western Ngamiland (Gomare/Etsha region) Implementing program through Agency for Cooperation and Research in Development (ACORD), a consortium of British PVOs Implementing partner in Botswana is CORDE Project duration is three years 	<ul style="list-style-type: none"> Although focusing on poverty alleviation, will be integrated with CBNRM and CB-Rural Development Strategy Need to coordinate activities with existing CBNRM activities District Council and TC could provide key facilitation role
European Union (EU)	<ul style="list-style-type: none"> Currently implementing Northern and Southern Parks project 	<ul style="list-style-type: none"> EU officials unable to meet with assessment team because of previous commitments, but it appears that EU will be focusing on CBNRM inside of protected areas. EU will focus on Moremi, Central Kalahari, Makgadigadi/Nxai Pan areas 	<ul style="list-style-type: none"> EU approach needs coordination with other CBNRM approaches outside of protected areas to insure consistent approach
UNDP/Global Environment Facility (GEF)	<ul style="list-style-type: none"> GEF funds support projects in biodiversity conservation, global 	<ul style="list-style-type: none"> Potential to use the SGF for planning and mobilization of CBNRM projects 	<ul style="list-style-type: none"> Funding levels, criteria, and proposal requirements should

	<p>warming, international waters, or ozone depletion.</p> <p>Small Grants Fund (SGF) has funds available for planning, group development and mobilization, and limited infrastructure development. Maximum grant is \$50,000. Khwai used SGF for planning and community mobilization towards forming a trust.</p> <p>Medium Grant Fund (MGF) is a GEF program providing grants up to \$750,000 for planning and project implementation. To date, no MGFs have been applied for or disbursed in Botswana. May require counterpart GoB funding.</p>	<p>MGF might be of more limited use, but should be explored</p>	<p>be explored by BOCOBONET and DWNP Extension Section</p>
--	---	---	--

5.4 Potential Funding Gaps and Priorities for USAID/RCSA

Many of the interventions outlined in Sections 5.1 and 5.2 will be supported, at least partially, by other funding institutions. These activities include:

- Pilot project networking project.** SNV plans on supporting pilot networking activities in Kgalagadi and Ngamiland districts. However, the technical assistance provided by SNV/IUCN will be working through BOCOBONET part-time and the pilot projects will require consistent technical assistance in group facilitation and networking at both of the districts. SNV-hired facilitators could use strategically-supplied long-term or short-term assistance in participatory workshops, facilitation, and networking. USAID/RCSA should discuss potential cooperation with SNV and IUCN on the implementation of pilot activities. SNV and IUCN do not want to

intervene directly with the previously USAID-supported CBOs. USAID/RCSA could provide technical assistance to the Ngamiland pilot, focusing on coordination and networking among the partners in Ngamiland and on the maturation of focus CBOs in Ngamiland, while SNV and IUCN could focus on support for compilation of best practices and networking for BOCOBONET in Gaborone. The Ngamiland pilot project needs overall integration of BOCOBONET, again requiring close cooperation with SNV and IUCN;

- ✍ SNV and IUCN will share one advisor, located at IUCN, to compile CBNRM best practices and assist BOCOBONET. They would also like to compile results from research and case studies on ecological inventory and monitoring techniques applied elsewhere in the Southern Africa region in order to propose approaches appropriate for Botswana. Given all the other responsibilities for this advisor, cooperation between USAID/RCSA and IUCN could enhance potential results. SNV and IUCN could focus on CBNRM best practices within Botswana and the compilation of case study material from the region, while USAID/RCSA could provide technical assistance, located at IUCN, to propose best practices for ecological monitoring and initiate pilot projects in the region. **RECOMMENDATION** - USAID/RCSA should discuss all of the joint SNV and IUCN activities listed above to see if additional technical assistance supplied by USAID/RCSA would enhance the impacts of these efforts. For example, best practices compiled for Botswana could be completed by the IUCN advisor, with USAID/RCSA assisting by compiling best practices from case studies in the region plus compilation of ecological monitoring activities in the region;
- ✍ No donors have expressed interest in providing support to improve the viability of previously USAID-supported CBOs. USAID/RCSA should continue support to the focus CBOs to assist them to maturity;
- ✍ Technical assistance to DWNP to define the role of the extension services and to improve the effectiveness of CCF is a very important and key intervention and appropriate for USAID/RCSA. No other donor has expressed interest in supporting DWNP's efforts in these areas; and
- ✍ USAID/RCSA could provide valuable short-term technical assistance to BWTI in its transition phase and to assist BWTI in defining the better utilization of its facilities and its newly developed training modules.

In summary, USAID/RCSA should focus its efforts on:

- ✍ Further enhancing the maturity of the previously-supported B/NRMP CBOs, in collaboration with Botswana intermediary organizations. If this is to be done,

- technical assistance will require different perspectives and possibly different skills. This should be discussed openly with the existing contractors and cooperators and new terms of reference determined that will insure in-country intermediary organizations capable of supporting CBOs in their sustainable development. New modes for supplying technical assistance might be required;
- ✍ Assisting SNV and IUCN in (1) building a district-level network in one pilot area, (2) compiling CBNRM best practices within the region, (3) defining and piloting potential ecological monitoring methods applicable to Botswana, and (4) providing additional technical assistance to BOCOBONET;
 - ✍ Providing long-term technical assistance to DWNP to define its CBNRM extension role and improve the management of the CCF; and
 - ✍ Providing strategic short-term technical assistance to BWTI to ease its proposed transition to better utilize its facilities and provide training to a wider array of CBNRM practitioners.

6. REGIONAL INTEGRATION

Within the Southern Africa region there are at least three different models of CBNRM. For example, Zimbabwe's CAMPFIRE program offers one approach where wildlife and other resources are co-managed by national and district level public institutions along with the existing village governance structure. Botswana's approach, however, follows a different form with the establishment of community-based trusts that engage directly in joint ventures with the private sector. Although there is also co-management in the Botswana approach, with government establishing offtake quotas for wildlife, community-level decisions are made by a new entity that bypasses, but links to, the existing governance structure. Thus, the Botswana model borrows much more from private sector practices by establishing a limited liability legal persona as the focal mechanism for the sustainable management of natural resources.

The Zimbabwe and Botswana models offer alternatives for the implementation of CBNRM and it is important for the Southern Africa region to have an array of choices for promoting CBNRM because the diversity of historical, ecological and topographic, demographic and political characteristics make the application of a single model problematic. Thus, it is important to support the Botswana model until it matures and to capture the lessons that emerge from the experience. Longitudinal case studies are needed.

But single cases also suffer from the inability to assess the relevance of the lessons across national borders and ecological frontiers. Thus, both case studies and a synthesis study

are needed to fully appreciate and understand the experience. And the synthesis needs to occur at both the national and regional levels.

The proposed interventions of Section 5 integrate well into the USAID/RCSA regional program under Strategic Objective 3 (SO3) – ***Improved Management of Shared Natural Resources*** (currently in draft form). The draft SO3 has five intermediate result (IR) packages:

- ✍ IR 1 – Policies, protocols, and agreements for managing shared resources;
- ✍ IR 2 – Sustainable approaches identified for regional dissemination;
- ✍ IR 3 – Strengthened ecological monitoring systems;
- ✍ IR 4 – Strengthened advocacy and regional sharing networks; and
- ✍ IR 5 – Select institutions strengthened for regional management of shared natural resources.

The intervention packages include:

- ✍ ***Building mature CBOs in Botswana and compiling and synthesizing lessons learned.*** IR 2 intends to identify successful CBNRM approaches as *learning sites* to provide possible models for information exchange, demonstrations and case studies for regional sharing and application. By supporting previously-supported CBOs, already on the way to becoming very successful models, and compiling the lessons learned from this process, USAID/RCSA will be adding tremendous conceptual capital to CBNRM development in the region and elsewhere in the world;
- ✍ ***Building district-level network in one pilot area.*** SO3 focuses on shared or transboundary natural resources issues and under IR 4, USAID/RCSA plans to strengthen information sharing and advocacy networks within countries and enhance the linking of these organizations in several countries. By supporting a pilot in Ngamiland (Northwest District), USAID/RCSA supports an area with natural resources shared by three countries of the region as well as supporting the development of a service and advocacy network within Botswana. The lessons distilled from this pilot will be extremely valuable to compare with other activities in the region in support of building similar networks (CAMPFIRE in Zimbabwe, COMPASS in Malawi, and new efforts in Namibia);
- ✍ ***Improving ecological monitoring for CBNRM.*** The proposed intervention is to support an intermediary organization, such as IUCN, to assess relevant regional models for ecological monitoring. IR 3 intends to facilitate regional agreement on monitoring approaches, integrate and harmonize transboundary monitoring systems, and support the development and dissemination of appropriate monitoring systems at *advanced* CBNRM sites, such as those in Botswana.

USAID support to CBNRM in Botswana has contributed tremendously to a better understanding of approaches relevant to successful CBO development. During the ten years of B/NRMP, political will and motivations have been substantially heightened and support from GoB institutions and other intermediary NGOs has increased dramatically. Interesting models striving towards success will contribute valuable lessons to regional and international CBNRM dialogue and refined approaches. Strategic interventions by USAID/RCSA and other key partners, such as SNV and IUCN, will enhance the results of B/NRMP significantly in the near future.